



#200837/EES/bkp

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of:

Richard L. Gregory

Application No. 10/009,004

Filed May 7, 2002

METHODS AND COMPOSITIONS FOR
CONTROLLING DENTAL CARIES AND
RECOMBINANT SmaA POLYPEPTIDES
USEFUL FOR SAME

) Before the Examiner
) Chowdhury, Iqbal Hossain
)
) Group Art Unit
) 1652
)
)
)
) March 7, 2007

**TRANSMITTAL OF POWER OF ATTORNEY TO PROSECUTE
APPLICATIONS BEFORE THE USPTO**

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Commissioner:

Enclosed herewith is a Power of Attorney to Prosecute Applications Before the USPTO to be entered in the file in the above-identified patent application. Please address all further communications regarding the above-identified patent to Edward E. Sowers, Esq., Reg. No. 36,015. Applicant believes that no fee is due for this submission, however, the Patent and Trademark Office is hereby authorized to charge any fee relating to this submission to Deposit Account No. 23-3030, but not to include the payment of any issue fees.

Respectfully submitted,

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

March 7, 2007

Date of Deposit

Edward E. Sowers

Name of Registered Representative

Edward E. Sowers

Signature

March 7, 2007

Date of Signature

By *Edward E. Sowers*
Edward E. Sowers, Reg. No. 36,015
Woodard, Emhardt, Moriarty, McNett & Henry LLP
111 Monument Circle, Suite 3700
Indianapolis, Indiana 46204-5137
(317) 634-3456



STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Indiana University Research & Technology Corporation

Application No./Patent No./Control No.: 10/009,004

Filed/Issue Date: May 7, 2002

Entitled: **METHODS AND COMPOSITIONS FOR CONTROLLING DENTAL CARIES AND RECOMBINANT SmaA POLYPEPTIDES USEFUL FOR SAME**

Indiana University Research & Technology Corporation, a
(Name of Assignee)

University
(Type of Assignee: corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title, and interest
(The extent (by percentage) of its ownership interest is _____ %)

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 013091, Frame 0997, or a true copy of the original assignment is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

1. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
2. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
3. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☒ As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or currently is being, submitted for recordation pursuant to 37 CFR 3.11.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Edward E. Sowers
Signature

March 7, 2007
Date

Edward E. Sowers, Reg. No. 36,015
Typed or printed name

(317) 634-3456
Telephone Number

Attorney for Applicant
Title



POWER OF ATTORNEY TO PROSECUTE APPLICATIONS BEFORE THE USPTO

I hereby revoke all previous powers of attorney given in the application identified in the attached statement under 37 CFR 3.73(b).

I hereby appoint:

☒ Practitioners associated with the Customer Number: **30565**

OR

☐ Practitioner(s) named below (if more than ten patent practitioners are to be named, then a customer number must be used):

Name	Registration Number	Name	Registration Number

as attorney(s) or agent(s) to represent the undersigned before the United States Patent and Trademark Office (USPTO) in connection with any and all patent applications assigned only to the undersigned according to the USPTO assignment records or assignment documents attached to this form in accordance with 37 CFR 3.73(b).

Please change the correspondence address for the application identified in the attached statement under 37 CFR 3.73(b) to:

☒ The address associated with Customer Number: **30565**

OR

<input type="checkbox"/> Firm or Individual Name				
Address				
City		State	Zip	
Country				
Telephone		Email		

Assignee Name and Address:

Indiana University Research & Technology Corporation
351 West 10th Street
Indianapolis, IN 46202

A copy of this form, together with a statement under 37 CFR 3.73(b) (Form PTO/SB/96 or equivalent) is required to be filed in each application in which this form is used. The statement under 37 CFR 3.73(b) may be completed by one of the practitioners appointed in this form if the appointed practitioner is authorized to act on behalf of the assignee, and must identify the application in which this Power of Attorney is to be filed.

SIGNATURE of Assignee of Record

The individual whose signature and title is supplied below is authorized to act on behalf of the assignee

Signature	<i>Jack H. Pincus</i>	Date	5/25/06
Name	Jack H. Pincus	Telephone	(317) 294-5904
Title	Vice President of Technology Transfer		

#382759

State of Indiana
Office of the Secretary of State

CERTIFICATE OF AMENDMENT

of

ADVANCED RESEARCH AND TECHNOLOGY INSTITUTE, INC.

I, TODD ROKITA, Secretary of State of Indiana, hereby certify that Articles of Amendment of the above Non-Profit Domestic Corporation have been presented to me at my office, accompanied by the fees prescribed by law and that the documentation presented conforms to law as prescribed by the provisions of the Indiana Nonprofit Corporation Act of 1991.

The name following said transaction will be:

INDIANA UNIVERSITY RESEARCH AND TECHNOLOGY CORPORATION

NOW, THEREFORE, with this document I certify that said transaction will become effective Wednesday, September 29, 2004.



In Witness Whereof, I have caused to be affixed my signature and the seal of the State of Indiana, at the City of Indianapolis, September 29, 2004.

A handwritten signature in black ink that reads "Todd Rokita".

TODD ROKITA,
SECRETARY OF STATE



UNITED STATES
PATENT AND
TRADEMARK OFFICE



7037-405

SEPTEMBER 17, 2002

PTAS

WOODARD, EMHARDT, NAUGHTON ET AL.
KENNETH A. GANDY
BANKE ONE CENTER/TOWER, 111 MONUMENT
CIRCLE, SUITE 3700
INDIANAPOLIS, INDIANA 46204-5317

Under Secretary of Commerce For Intellectual Property and
Director of the United States Patent and Trademark Office
Washington, DC 20231
www.uspto.gov



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UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 05/07/2002

REEL/FRAME: 013091/0997
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

GREGORY, RICHARD L.

DOC DATE: 11/26/2001

ASSIGNEE:

ADVANCED RESEARCH & TECHNOLOGY
INSTITUTE, INC.
1100 WATERWAY BLVD.
SUITE 100
INDIANAPOLIS, INDIANA 46202

SERIAL NUMBER: 10009004
PATENT NUMBER:

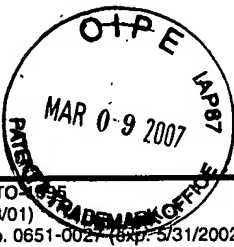
FILING DATE:
ISSUE DATE:

TONYA LEE, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS.

RECEIVED

SEP 24 2002

Woodard, Emhardt, Naughton,
Moriarty & McNett



PCT/PTO

07 MAY 2002

10/009 004 AD

IU-097:KAG:162158/am
WENMM-1595 (05/01)Form PTO-1005
(Rev. 03/01)
OMB No. 0651-0027 (Exp. 5/31/2002)

RE

07-22-2002

U.S. DEPARTMENT OF COMMERCE
U.S. Patent and Trademark Office

Tab settings → → →

To the Honorable Commissioner of



102163557

hed original documents or copy thereof.

1. Name of conveying party(ies):

Richard L. Gregory

5-7-02

2. Name and address of receiving party(ies)

Name: Advanced Research & Technology Institute, Inc.

Internal Address: _____

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ Other _____Street Address: 1100 Waterway Blvd., Suite 100City: Indianapolis State: Indiana Zip: 46202Execution Date: November 26, 2001Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or registration number(s):

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s)

10/009,004 filed November 5, 2001

B. Patent No.(s)

Additional number(s) attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Kenneth A. GandyInternal Address: Woodard, Emhardt, Naughton, Moriarty
& McNettStreet Address: Bank One Center/Tower, 111 Monument
Circle, Suite 3700City: Indianapolis State: Indiana Zip: 46204-5137

6. Total number of applications and patents involved

1

7. Total fee (37 CFR 3.41).....\$40.00

☒ Enclosed☐ Authorized to be charged to deposit account

8. Deposit account number:

23-3030

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*Kenneth A. Gandy

Name of Person Signing

Signature

April 25, 2002

Date

Total number of pages including cover sheet, attachments, and document:

3

Mail documents to be recorded with required cover sheet information to:
Commissioner of Patent & Trademarks, Box Assignments
Washington, D.C. 20231

05/10/2002 SNAJARRO 00000080 10009004

02 FC:581

40.00 00

ASSIGNMENT

WHEREAS, Richard L. Gregory of 4590 Buckingham Court, Carmel, Indiana 46033, hereinafter referred to as Assignor, has made a new and useful invention in METHODS AND COMPOSITIONS FOR CONTROLLING DENTAL CARIES, AND RECOMBINANT SmaA POLYPEPTIDES USEFUL FOR SAME, for which Assignor has filed a patent application in the United States, filed on November 5, 2001; and

WHEREAS, Advanced Research & Technology Institute, Inc., hereinafter referred to as Assignee, a corporation of the State of Indiana having a principal place of business at 1100 Waterway Boulevard, Suite 100, Indianapolis, Indiana 46202, desires to acquire all of the entire right, title, and interest in, to and under said invention disclosed, described and claimed or intended so to be in said application, and in, to and under said application, and in, to and under any and all Letters Patent, United States and foreign, which may be obtained therefor and thereon;

NOW, THEREFORE, to all whom it may concern, be it known that for and in consideration of the sum of One Dollar (\$1.00) and other good, valuable and sufficient considerations to Assignor in hand paid, the receipt of which is hereby acknowledged, Assignor has sold, assigned and transferred, and by these presents does sell, assign and transfer unto Assignee, all of the entire right, title, and interest in, to and under said invention disclosed, described and claimed or intended so to be in said application, and in, to and under said application and any and all other applications thereon and arising therefrom, including any and all non-provisional applications claiming priority thereon and divisions and continuations thereof, and any and all patents to be issued and obtained therefor and thereon, United States and foreign, including all reissues and extensions thereof.

Assignor hereby authorizes and requests the firm of Woodard, Emhardt, Naughton, Moriarty & McNett of Bank One Center Tower, 111 Monument Circle, Suite 3700, Indianapolis, Indiana 46204-5137 to insert here in parentheses (Serial No. 10/009,004) the serial number of said application when officially known, and Assignor hereby authorizes and requests the Honorable Assistant Secretary and Commissioner of Patents and Trademarks to issue said Letters Patent to Assignee, its assigns and legal representatives.

Assignor agrees to sign and execute any and all other papers necessary or desirable for the procurement of Letters Patent on said invention in this and all foreign countries for the use of Assignee.

WITNESS Assignor's hand this 26th day of November, 2001.

Richard L. Gregory
Richard L. Gregory

STATE OF Indiana)
COUNTY OF Manon) SS:

Before me, a Notary Public, in and for said County and State, personally appeared the above-named Assignors, to me personally known, and who executed the foregoing Assignment in my presence and acknowledged the execution thereof as their free and voluntary act and deed for the uses and purposes therein set forth and expressed.

Margaret A. Logan
Notary Public

My Commission Expires:

02/19/08

Printed: Margaret A. Logan

Resident of Johnson County